

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE
(MODIFIED) PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.
53087-5001

SERIAL NO.
09/842,266

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT
(Use several sheets if necessary)

(37 C.F.R. § 1.98(b))

APPLICANT
Gunter, et al.

FILING DATE
April 25, 2001

GROUP

U.S. PATENT DOCUMENTS

EXAMINER INITIALS		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
OIPF JAN 25 2002 PATENT & TRADEMARK OFFICE	A	6	2	1	6	1	1	6	04/10/01	Barkan, et al.	705	76	
	B	5	6	5	9	6	1	6	08/19/97	Sudia	380	23	
	C	5	9	0	3	8	8	2	05/11/99	Asay et al.	705	44	
	D	5	9	4	3	4	2	3	08/24/99	Muftic	380	25	
	E	5	9	7	8	4	8	4	11/02/99	Apperson et al.	380	25	
	F	5	9	6	0	0	8	5	09/28/99	De la Hueraga	380	25	
	G	6	0	0	3	0	1	4	12/14/99	Lee et al.	705	13	
	H	5	9	0	1	2	8	4	05/04/99	Hamdy-Swink	395	186	
	I	5	8	7	2	8	4	8	02/16/99	Romney et al.	380	25	
	J	5	7	8	4	4	6	3	07/21/98	Chen et al.	380	21	
	K	5	7	6	1	3	0	9	06/02/98	Ohashi et al.	380	25	

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

		DOCUMENT NUMBER							PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
													YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

DP	L	Blaze, et al., "THE KEYNOTE TRUST-MANAGEMENT SYSTEM VERSION 2", Internet Society, September 1999, pp. 1-32.
2	M	Gunter, et al., "POLICY-DIRECTED CERTIFICATE RETRIEVAL", Software-Practice & Experience, September 21, 2000, Vol. 30, pp. 1609-1640.
DP	N	Gunter, et al., "GENERALIZED CERTIFICATE REVOCATION", ACM Symposium On Principles Of Programming Languages, January 2000, pp. 1-14.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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	O	5	7	5	7	9	2	0		05/26/98	Misra et al.	380	25	
	P	5	7	5	4	6	5	4		05/19/98	Hiroya et al.	380	24	
	Q	5	6	9	4	4	7	1		12/02/97	Chen et al.	380	25	
	R	5	4	1	2	7	1	7		05/02/95	Fischer	380	4	
	S	5	3	3	9	4	0	3		08/16/94	Parker	395	425	
	T	5	2	6	1	0	0	2		11/09/93	Perlman et al.	380	30	
	U	5	3	1	5	6	5	7		05/24/94	Abadi et al.	380	25	
	V	5	2	1	4	7	0	2		05/25/93	Fischer	380	30	
	W	4	8	6	8	8	7	7		09/19/89	Fischer	380	25	
	X	4	8	1	6	6	5	5		03/28/89	Musyck et al.	235	380	
	Y	5	6	1	5	2	6	8		03/25/97	Bisbee et al.	380	25	

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		DOCUMENT NUMBER								PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
														YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

	Z	Kakkar, et al., "CERTIFICATE DISTRIBUTION WITH LOCAL AUTONOMY", International Workshop on Active Networks, October 2000, pp. 1-19.
	AA	Blaze, et al., "DECENTRALIZED TRUST MANAGEMENT", Proc. IEEE Conference on Security and Privacy, May 1996, pp. 1-23
	BB	Herzberg, et al., "ACCESS CONTROL MEETS PUBLIC KEY INFRASTRUCTURE, OR: ASSIGNING ROLES TO STRANGERS", pp. 1-13.

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U.S. PATENT DOCUMENTS

EXAMINE INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>[Signature]</i>	CC	5	5	4	2	0	4	6	07/30/96	Carlson et al.	395	186	
	DD	5	4	7	5	7	5	8	12/12/95	Kikuchi	380	25	
	EE	5	4	5	5	9	5	3	10/03/95	Russell	395	739	
	FF	5	4	1	2	7	2	7	05/02/95	Drexler et al.	380	24	
	GG	6	1	3	8	2	3	5	10/24/00	Lipkin, et al.	713	155	



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													YES	NO

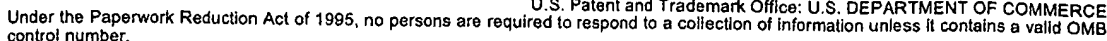
OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

<i>[Signature]</i>	HH	Rivest, et al., "SDSI - A SIMPLE DISTRIBUTED SECURITY INFRASTRUCTURE", April 30, 1996, pp. 1-37.
<i>[Signature]</i>	II	C. Ellison, "SPKI REQUIREMENTS", The Internet Society, September 1999, pp. 1-14.
<i>[Signature]</i>	JJ	Ellison, et al., "SPKI CERTIFICATE THEORY", The Internet Society, September 1999, pp. 1-43.

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DATE CONSIDERED

Page 5 of 5



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Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1	of	1
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Complete if Known

Application Number	09/842,266
Filing Date	04/25/01
First Named Inventor	Gunter
Group Art Unit	21.31
Examiner Name	
Attorney Docket Number	53087-5001

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Technology Center

Examiner
Signature

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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ATTY. DOCKET NO.
053087-5001

SERIAL NO.
09/842,266

INFORMATION DISCLOSURE
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(37 C.F.R. § 1.98(b))

APPLICANT
Gunter et al.

FILING DATE
April 25, 2001

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U.S. PATENT DOCUMENTS

EXAMINE R INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>AB</i>	A	6	2	1	2	6	3	4	04/03/01	Greer, Jr et al			
	B	5	5	3	0	2	3	5	06/25/96	Stefik et al.			
	C	6	4	4	6	2	5	3	09/03/02	Mellmer			
	D	5	5	8	3	9	9	3	12/10/96	Foster et al.			
	E	6	3	9	3	5	6	5	05/21/02	Lockhart et al.			
	F	6	4	3	8	6	0	0	08/20/02	Greenfield et al.			
	G	5	5	7	7	1	2	0	11/19/96	Penzias			
	H	5	2	2	0	6	0	4	06/15/93	Gasser et al.			
	I	6	2	8	2	1	8	3	08/28/01	Harris et al.			
	J	0	0	0	7	3	1	7	01/17/02	Callagahn et al.			
<i>AB</i>	K	0	1	2	8	9	0	3	09/12/02	Kernahan			
	L	0	0	3	2	6	2	6	03/14/02	DeWolf et al.			

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FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

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													YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

<i>AB</i>	M	Tuomas Aura, "Distributed Access-Rights Management With Delegation Certificates", Secure Internet Programming (LNCS), 1999 Springer-Verlag, pp. 1-25.

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AUG 08 2003

Substitute for Form 1449A/PTO				Complete if Known.	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	09/842,266
				Filing Date	April 25, 2001
				First Named Inventor	Gunter et al.
				Group Art Unit	
				Examiner Name	
Sheet	1	of	1	Attorney Docket Number	053087-5001

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FOREIGN PATENT DOCUMENTS						
Exr Initials	Foreign Patent Document			Name of Inventor or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T ₁
	Country Code	Number	Kind Code (if known)			

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Examiner Signature	<i>David R. Smith</i>	Date Considered	<i>6/17/04</i>
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Examiner Signature	<i>Donald Dunn</i>	Date Considered	<i>2/27/04</i>
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